

YOUTH SERVICES POLICY

Title: Grants Administration Program Next Annual Review Date: 03/10/2016	Type: A. Administrative Sub Type: 3. Fiscal Number: A.3.6
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References: La R.S. 39:1481, et seq.; La. R.S. 39:78 "Uniform Accounting Procedures, "State Treasurer Policies and Procedures Manual and Generally Accepted Accounting Principles" LAC Title 34, Part V; and an OCR pamphlet entitled "Contracting for Professional, Personal, Consulting and Social Services"; YS Policy No A.1.9 "Public Records Management"	
STATUS: Approved	
Approved By: <i>Mary L. Livers, Deputy Secretary</i>	Date of Approval: 03/10/2015

I. AUTHORITY:

Deputy Secretary of Youth Services (YS) as contained in La. R.S. 36:405. Deviation from this policy must be approved by the Deputy Secretary.

II. PURPOSE:

To set policy and outline the procedures for the grants administration program within Youth Services (YS).

III. APPLICABILITY:

Deputy Secretary, Assistant Secretary, Undersecretary, Chief of Operations, Deputy Assistant Secretary, Regional Directors, Facility Directors, Regional Managers, and all employees authorized by the Unit Head to make grant applications.

IV. DEFINITIONS:

Central Office (CO) Grants Monitor/Chief Writer – A Central Office (CO) employee, who is assigned to Continuous Quality Improvement Services (CQIS) and is designated to provide oversight of the grant process. As Chief Writer, the CO Grants Monitor shall compile the information received from other employees who have been assigned roles during the grant application process. The Chief Writer shall submit the final copy of the application to the granting agency.

Continuous Quality Improvement Services (CQIS) - The CO performance- based and results-driven competency and efficiency management system.

Grant - A subsidy for state general funds received from a source outside of YS for the purpose of establishing (or continuing) a specific project.

Grantee - A budget unit that receives grant funds.

Grantor - Agency (or private entity) from which grant funds are received.

Grants Project Manager – A unit staff member appointed by the Unit Head to act as liaison between the CO Grants Monitor/Chief Writer and all employees and contractors responsible for operating a particular grant-funded project. This person is responsible for running the day-to-day operations of that project.

Grant Writer – A unit staff member charged with compiling application materials and writing the application to be submitted to the CO Grants Monitor/Chief Writer for final submission. In some instances, the Grant Writer may also be CO Grants Monitor/Chief Writer.

Unit Head – Deputy Secretary, Facility Directors and Regional Managers.

V. POLICY:

It is the Deputy Secretary's policy that all grants shall be administered through the CO Grants Monitor/Chief Writer in accordance with applicable state and federal laws. The CO Grants Monitor/Chief Writer and the Grants Project Managers shall be responsible for maintaining grant files for a minimum of three (3) years after the final end date of the grant unless the grantor requires additional retention of all grant records. (Refer to YS Policy No. A.1.9)

The CO Grants Monitor/Chief Writer is charged with the responsibility of maintaining relationships with granting agencies and keeping YS/OJJ profiles in federal government systems and grants management systems updated.

The Deputy Secretary, Undersecretary, and the Chief of Operations shall be kept apprised of any grant applications.

VI. DUTIES AND RESPONSIBILITIES

A. The CO Grants Monitor/Chief Writer shall be responsible for the following:

1. Seeking and securing grant funding for YS/OJJ;
2. Providing general oversight of the grant-writing and grant-management process;
3. Planning and compliance with granting agencies, including start-up;
4. Initiation of contracts; and
5. Follow-up with the assigned Public Safety Services (PSS)/Office of Management and Finance (OMF) Accountant.

B. Upon funding, the CO Grants Monitor/Chief Writer shall liaison with the PSS/OMF Accountant regarding manner and due dates of all fiscal reports submitted to funding agencies. The PSS/OMF Accountant shall be responsible for submitting fiscal reports.

- C. The Grants Project Manager shall be responsible for implementation and daily operation of the funded project.

VII. PROCEDURES:

A. Grant Planning/Proposal Writing

1. Phase I of grant planning/writing shall take place when unit staff brings an idea for a grant application to the attention of the CO Grants Monitor/Chief Writer. The Unit Head shall designate a Grants Project Manager who shall serve as liaison with the CO Grants Monitor/Chief Writer, and shall be responsible for the programmatic aspects of the proposal and the realized project, should it be funded. During this phase, the CO Grants Monitor/Chief Writer shall be responsible for informing the Deputy Secretary, Undersecretary, and the Chief of Operations that the application process has begun.
2. Phase II shall include a mandatory meeting at least three (3) weeks prior to the application due date, in which the CO Grants Monitor/Chief Writer shall assign roles to the employees who shall be involved in the application process.

Examples of assigned roles are as follows:

- Chief Writer;
- Contributing Writer;
- Researcher;
- Collector of Support Letters;
- Budget Preparer;
- Timeline Preparer; and
- Logic Model Preparer, etc.

The "Assigned Roles/Application Process" form [see Attachment A.3.6 (a)] shall be utilized by the CO Grants Monitor/Chief Writer during the meeting to reflect the roles of employees and due dates for all parts of the proposal-writing process.

3. Phase III shall be the grant-writing process. All employees assigned to the grant writing process shall respond to requests from the CO Grants Monitor/Chief Writer on or before the due dates.
4. Phase IV consists of the CO Grants Monitor/Chief Writer compiling all application parts and submitting the completed grant application on or before the grantor due date in accordance with the instructions. In most cases, the grantor will require electronic submissions, which will necessitate use of a computer and reliable internet access.

In a few cases, the granting agency will require written applications, which must be submitted at least two (2) days before the due date, using appropriate postage and/or delivery priority.

5. Grants are generally applied for under the name of the Chief of Operations, who shall ultimately be responsible for any major decisions in the completion of the grant process, should it be funded. The Chief of Operations becomes the legal signer when the application is submitted.

B. Grant Awards and Programs

1. Grant funds are subject to the same policies as general funds and must be expended and accounted for through utilization of La. R.S. 39:78 "Uniform Accounting Procedures," State Treasurer Policies and Procedures Manual, and Generally Accepted Accounting Principles.
2. Upon receipt of the grant award (or notice of non-acceptance), the CO Grants Monitor/Chief Writer shall inform the applying unit of the notification.
3. The Grants Project Manager, who may or may not be the same employee as the CO Grants Monitor/Chief Writer, depending on the agency's needs, shall ensure that all programmatic functions are completed effectively and on time.

The Grants Project Manager shall report all progress or problems to, and consult with, the CO Grants Monitor/Chief Writer in making changes to programming or scheduling.

4. The CO Grants Monitor/Chief Writer shall oversee the implementation of grant activities.
5. After consultation with the Grants Project Manager, the CO Grants Monitor/Chief Writer shall submit a budget adjustment (BA-7) and any other grant adjustments that may be required by the respective granting agencies.
6. The Grants Project Manager and the CO Grants Monitor/Chief Writer shall identify positions and Table of Organization (T.O.) necessary for the grant, and shall request any positions needed through PSS/OMF Human Resources (HR).
7. The CO Grants Monitor/Chief Writer and the Grants Project Manager shall determine if professional services contracts are necessary, and shall assist in the preparation of these contracts.

8. The CO Grants Monitor/Chief Writer shall formally request the contracts through the State Office of Contractual Review (OCR), according to that office's guidelines for contracting. At minimum, the CO Grants Monitor / Chief Writer and the Grants Project Manager shall keep on file updated copies of all Louisiana laws and rules governing contracts and purchasing procedures.

They are as follows: La R.S. 39:1481, et seq.; LAC Title 34, Part V; and the OCR pamphlet entitled "Contracting for Professional, Personal, Consulting and Social Services".

9. The Grants Project Manager shall review contract invoices, approve as appropriate, and forward the invoices to PSS/OMF for payment using the PSS' email procedure. The subject line of each payment email shall contain the invoice month, the name of the contractor, the contract number of the grant from which the payment will be reimbursed.
10. PSS/OMF Accounting Services shall request the drawdown of grant funds from the grantor agency and prepare related reports.
11. The Grants Project Manager shall forward all purchase requests to the CO Grants Monitor/Chief Writer for review and approval. Approvals shall be based on the availability of grant funds and compliance with project costs.
12. The Grants Project Manager shall enter all purchase requests on the 156-B "Request for Purchase" form in the Lotus Notes Database.
 - a. In order for the 156-B to be forwarded to the CO Grants Monitor/Chief Writer for payment, the box entitled "Unit" at the top of the form must contain "Central Office Grants." The 156-B shall always contain a notation as to the uses of the order and the grant number from which the funds will be drawn.
 - b. All purchase requests submitted using the unit's VISA credit card shall require prior approval by the CO Grants Monitor/Chief Writer.
 - i. Requests which are approved shall be returned to the requestor indicating approval.
 - ii. Requests which are denied shall be returned to the requestor indicating denial.
13. The Grants Project Manager shall check with the PSS/OMF Accountant once every 14 days to ensure that all purchases, contract payments, personnel expenditures, and other grant related costs are being reimbursed by and drawn down from the correct grant funds.

C. Grant Reporting

The CO Grants Monitor/Chief Writer shall:

1. Determine the reporting requirements of awarded grants in conjunction with grantor requirements.
2. Notify the Grants Project Manager and PSS/OMF Accountant in advance of required program reports and due dates.
3. Be responsible for timely completion and submission of program reports to the grantor agency, and shall forward copies of required reports to the Grants Project Manager.
4. Meet with the PSS/OMF Accountant to ensure that the grant fiscal records are reconciled to the Integrated Statewide Information System - Advantage Financial System (ISIS-AFS) reports; for assuring that grant projects are reported in a timely manner; and for performing the appropriate close-out functions upon completion of a grant project.
5. Consult with the PSS/OMF Accountant and ensure that the PSS/OMF Accountant shall provide any fiscal information required for inclusion in program reports.

D. Grant Close-out

The Grants Project Manager shall:

1. Prepare a close-out timeline, for each grant, wherein the end date conforms to the end date assigned by the granting agency.
2. Host a meeting and discuss the timeline with all relevant employees at least two (2) weeks before the beginning date of the timeline.
3. Ensure that all employees complete close-out tasks by assigned due dates.
4. Complete any final reports required by the granting agency before the granting agency's prescribed due date.
5. Ensure that the PSS/OMF Accountant completes all final fiscal reports required by the granting agency.
6. In consultation with the CO Grants Monitor/Chief Writer, prepare an internal final report of programmatic activities completed during the grant period, including, but not limited to:
 - a. Enrollment totals and completion percentages with regard to performance measures and indicators;
 - b. Other completed activities or corrective actions;

- c. A summary of all funds spent to date;
 - d. A description of completed contract activities, including contract numbers for each entry and a confirmation of whether or not all invoices have been received and paid for; and
 - e. A copy of any and all reports that were submitted by evaluating contractors, consultants or auditors, including a description of how YS/OJJ and its assigned employees chose to address those reports.
7. Submit copies of the above close-out reports to the Chief of Operations and the Undersecretary no more than 60 days following the scheduled end date of close-out activities.

E. Fiscal Year-end Report

The CO Grants Monitor/Chief Writer shall be responsible for:

1. Submitting a Fiscal Year-end report to the Chief of Operations and the Undersecretary on or before August 31st of each year.
2. Consulting with the PSS/OMF Accountant and obtaining a complete summary of:
 - a. Expenditures on contracts for each grant (whether closed or active) for the ending fiscal year;
 - b. Expenditures on salaries for each grant (whether closed or active) for the ending fiscal year;
 - c. Expenditures on equipment and supplies for each grant (whether closed or active) for the ending fiscal year;
 - d. Any other expenditures for each grant (whether closed or active) for the ending fiscal year; and
 - e. Summaries of how much funding remains for each grant.
3. The Fiscal Year-end Report shall contain the following:
 - a. The financial summary mentioned above;
 - b. Separate summaries, for each active grant, of all activities and performance indicators the ending fiscal year; summaries shall include brief commentary on contractor progress and plans for the following fiscal year.
 - c. Separate summaries, for each grant that closed during the fiscal year, of all activities and performance indicators for the ending fiscal year; summaries shall include brief commentary on contractors' completed work; and
 - d. Any charts, graphs, photos, or other attachments deemed necessary for clarification of reported activities.

Previous Regulation/Policy Number: A.3.6

Previous Effective Date: 01/28/2014



Attachments/References:

Assigned Roles Grant Application Process 12-14-12.docx